

## PATENT COOPERATION TREATY

From the INTERNATIONAL BUREAU

**PCT****NOTIFICATION OF ELECTION**  
(PCT Rule 61.2)

Date of mailing (day/month/year) 10 July 2001 (10.07.01)	To:  Commissioner US Department of Commerce United States Patent and Trademark Office, PCT 2011 South Clark Place Room CP2/5C24 Arlington, VA 22202 ETATS-UNIS D'AMERIQUE  in its capacity as elected Office
International application No. PCT/US00/25520	Applicant's or agent's file reference UCIVN-007PCT
International filing date (day/month/year) 18 September 2000 (18.09.00)	Priority date (day/month/year) 21 September 1999 (21.09.99)
<b>Applicant</b> EVANS, William, J. et al	

## 1. The designated Office is hereby notified of its election made:

 in the demand filed with the International Preliminary Examining Authority on:

10 April 2001 (10.04.01)

 in a notice effecting later election filed with the International Bureau on:2. The election  was was not

made before the expiration of 19 months from the priority date or, where Rule 32 applies, within the time limit under Rule 32.2(b).

**BEST AVAILABLE COPY**

The International Bureau of WIPO 34, chemin des Colombettes 1211 Geneva 20, Switzerland  Facsimile No.: (41-22) 740.14.35	Authorized officer  Odile ALIU  Telephone No.: (41-22) 338.83.38
---	--

## PATENT COOPERATION TREATY

PCT

REC'D 14 FEB 2002
WIPO PCT

## INTERNATIONAL PRELIMINARY EXAMINATION REPORT

(PCT Article 36 and Rule 70)

10

Applicant's or agent's file reference UCIVN-007PCT	FOR FURTHER ACTION	See Notification of Transmittal of International Preliminary Examination Report (Form PCT/IPEA/416)
International application No. PCT/US00/25520	International filing date (day/month/year) 18 SEPTEMBER 2000	Priority date (day/month/year) 21 SEPTEMBER 1999
International Patent Classification (IPC) or national classification and IPC IPC(7): C08F 4/44, 4/52 and US Cl.: 502/102, 117, 152; 526/164; 534/15, 16		
Applicant THE REGENTS OF THE UNIVERSITY OF CALIFORNIA		

1. This international preliminary examination report has been prepared by this International Preliminary Examining Authority and is transmitted to the applicant according to Article 36.
2. This REPORT consists of a total of 3 sheets.
 

This report is also accompanied by ANNEXES, i.e., sheets of the description, claims and/or drawings which have been amended and are the basis for this report and/or sheets containing rectifications made before this Authority. (see Rule 70.16 and Section 607 of the Administrative Instructions under the PCT).

These annexes consist of a total of 0 sheets.

3. This report contains indications relating to the following items:

- I  Basis of the report
- II  Priority
- III  Non-establishment of report with regard to novelty, inventive step or industrial applicability
- IV  Lack of unity of invention
- V  Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability, citations and explanations supporting such statement
- VI  Certain documents cited
- VII  Certain defects in the international application
- VIII  Certain observations on the international application

Date of submission of the demand 10 APRIL 2001	Date of completion of this report 30 DECEMBER 2001
Name and mailing address of the IPEA/US Commissioner of Patents and Trademarks Box PCT Washington, D.C. 20231 Facsimile No. (703) 305-3230	Authorized officer ROBERT D. HARLAN Telephone No. (703) 306-5926
DEBORAH THOMAS PARALEGAL SPECIALIST 	

## INTERNATIONAL PRELIMINARY EXAMINATION REPORT

International application No.

PCT/US00/25520

## I. Basis of the report

1. With regard to the elements of the international application:\*
- the international application as originally filed

the description:

pages \_\_\_\_\_ 1-31

pages \_\_\_\_\_ NONE

pages \_\_\_\_\_ NONE

pages \_\_\_\_\_ NONE

the claims:

pages \_\_\_\_\_ 32-38

pages \_\_\_\_\_ NONE

pages \_\_\_\_\_ NONE

pages \_\_\_\_\_ NONE

the drawings:

pages \_\_\_\_\_ 1-3

pages \_\_\_\_\_ NONE

pages \_\_\_\_\_ NONE

the sequence listing part of the description:

pages \_\_\_\_\_ NONE

pages \_\_\_\_\_ NONE

pages \_\_\_\_\_ NONE

2. With regard to the language, all the elements marked above were available or furnished to this Authority in the language in which the international application was filed, unless otherwise indicated under this item. These elements were available or furnished to this Authority in the following language \_\_\_\_\_ which is:

the language of a translation furnished for the purposes of international search (under Rule 23.1(b)).

the language of publication of the international application (under Rule 48.3(b)).

the language of the translation furnished for the purposes of international preliminary examination (under Rules 55.2 and/or 55.3).

3. With regard to any nucleotide and/or amino acid sequence disclosed in the international application, the international preliminary examination was carried out on the basis of the sequence listing:

contained in the international application in printed form.

filed together with the international application in computer readable form.

furnished subsequently to this Authority in written form.

furnished subsequently to this Authority in computer readable form.

The statement that the subsequently furnished written sequence listing does not go beyond the disclosure in the international application as filed has been furnished.

The statement that the information recorded in computer readable form is identical to the written sequence listing has been furnished.

4.  The amendments have resulted in the cancellation of:

the description, pages \_\_\_\_\_ NONE

the claims, Nos. \_\_\_\_\_ NONE

the drawings, sheets/fig. \_\_\_\_\_ NONE

5.  This report has been drawn as if (some of) the amendments had not been made, since they have been considered to

\* Replacement sheets which have been furnished to the receiving Office in response to an invitation under Article 14 are referred to in this report as "originally filed" and are not annexed to this report since they do not contain amendments (Rules 70 and 70.17).

sheet containing such amendments must be referred to under item 1 and annexed to this report.

## INTERNATIONAL PRELIMINARY EXAMINATION REPORT

International application No.

PCT/US00/25520

**V. Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement****1. statement**

Novelty (N)	Claims <u>1-47</u>	YES
	Claims <u>NONE</u>	NO
Inventive Step (IS)	Claims <u>NONE</u>	YES
	Claims <u>1-47</u>	NO
Industrial Applicability (IA)	Claims <u>1-47</u>	YES
	Claims <u>NONE</u>	NO

**2. citations and explanations (Rule 70.7)**

Claims 1-47 lack an inventive step under PCT Article 39(3) as being obvious over Winfield et al., Journal of Fluorine Chemistry 91 (1998) 213-218 (hereinafter "Winfield"). Winfield discloses a method for reducing molybdenum and tungsten compounds using a lanthanide compound. Winfield discloses the reactive of the lanthanide series towards molybdenum and tungsten compounds. In light of the teaches of Winfield a skill artisan would be motivated to use lanthanides along with various ligands in a reduction/oxidation reaction of various transition metals.

Claims 1-47 meet the criteria set out in PCT Article 39(2) and (4), because the prior art does not teach or fairly suggest the reaction of specific lanthanide compounds containing the ligands disclosed in the present invention with other compounds.

Claims 1-47 have industrial applicability as methods for carrying out organic and polymeric reactions involving the use of a reduction agent.

————— NEW CITATIONS ————  
NONE

# PATENT COOPERATION TREATY

From the INTERNATIONAL SEARCHING AUTHORITY

To: ROBERT D. BUYAN  
STOUT, UXA, BUYAN & MULLINS LLP  
4 VENTURE  
SUITE 3000  
IRVINE, CA 92618

## PCT

### NOTIFICATION OF TRANSMITTAL OF THE INTERNATIONAL SEARCH REPORT OR THE DECLARATION

(PCT Rule 44.1)

<p><b>Applicant's or agent's file reference</b> UCIVN-007PCT</p>	<b>Date of Mailing (day/month/year)</b> <b>12 JAN 2001</b>
<p><b>International application No.</b> PCT/US00/25520</p>	<b>FOR FURTHER ACTION See paragraphs 1 and 4 below</b> <b>International filing date (day/month/year)</b> <b>18 SEPTEMBER 2000</b>
<p><b>Applicant</b> THE REGENTS OF THE UNIVERSITY OF CALIFORNIA</p>	

1.  The applicant is hereby notified that the international search report has been established and is transmitted herewith.
- Filing of amendments and statement under Article 19:**  
The applicant is entitled, if he so wishes, to amend the claims of the international application (see Rule 46):
- When?** The time limit for filing such amendments is normally 2 months from the date of transmittal of the international search report; however, for more details, see the notes on the accompanying sheet.
- Where?** Directly to the International Bureau of WIPO  
34, chemin des Colombettes  
1211 Geneva 20, Switzerland  
Facsimile No.: (41-22) 740.14.35
- For more detailed instructions,** see the notes on the accompanying sheet.
2.  The applicant is hereby notified that no international search report will be established and that the declaration under Article 17(2)(a) to that effect is transmitted herewith.
3.  **With regard to the protest against payment of (an) additional fee(s) under Rule 40.2, the applicant is notified that:**
  - the protest together with the decision thereon has been transmitted to the International Bureau together with the applicant's request to forward the texts of both the protest and the decision thereon to the designated Offices.
  - no decision has been made yet on the protest; the applicant will be notified as soon as a decision is made.
4. **Further action(s):** The applicant is reminded of the following:
- Shortly after 18 months from the priority date, the international application will be published by the International Bureau. If the applicant wishes to avoid or postpone publication, a notice of withdrawal of the international application, or of the priority claim, must reach the International Bureau as provided in rules 90 bis 1 and 90 bis 3, respectively, before the completion of the technical preparations for international publication.
- Within 19 months from the priority date, a demand for international preliminary examination must be filed if the applicant wishes to postpone the entry into the national phase until 30 months from the priority date (in some Offices even later).
- Within 20 months from the priority date, the applicant must perform the prescribed acts for entry into the national phase before all designated Offices which have not been elected in the demand or in a later election within 19 months from the priority date or could not be elected because they are not bound by Chapter II.

<p>Name and mailing address of the ISA/US Commissioner of Patents and Trademarks Form PCT/US00/25520 Washington, D.C. 20231</p>	<p>Authorized officer ROBERT D. HARLAN</p>
<p>DEBORAH THOMAS <i>[Signature]</i> (See notes on back of sheet)</p>	

## PATENT COOPERATION TREATY

## PCT

## INTERNATIONAL SEARCH REPORT

(PCT Article 18 and Rules 43 and 44)

Applicant's or agent's file reference UCIVN-007PCT	<b>FOR FURTHER ACTION</b>	see Notification of Transmittal of International Search Report (Form PCT/ISA/220) as well as, where applicable, item 5 below.
International application No. PCT/US00/25520	International filing date ( <i>day/month/year</i> ) 18 SEPTEMBER 2000	(Earliest) Priority Date ( <i>day/month/year</i> ) 21 SEPTEMBER 2000
Applicant THE REGENTS OF THE UNIVERSITY OF CALIFORNIA		

This international search report has been prepared by this International Searching Authority and is transmitted to the applicant according to Article 18. A copy is being transmitted to the International Bureau.

This international search report consists of a total of 3 sheets.

- It is also accompanied by a copy of each prior art document cited in this report.

**1. Basis of the report**

- a. With regard to the language, the international search was carried out on the basis of the international application in the language in which it was filed, unless otherwise indicated under this item.
  - the international search was carried out on the basis of a translation of the international application furnished to this Authority (Rule 23.1(b)).
- b. With regard to any nucleotide and/or amino acid sequence disclosed in the international application, the international search was carried out on the basis of the sequence listing:
  - contained in the international application in written form.
  - filed together with the international application in computer readable form.
  - furnished subsequently to this Authority in written form.
  - furnished subsequently to this Authority in computer readable form.
  - the statement that the subsequently furnished written sequence listing does not go beyond the disclosure in the
  - the statement that the information recorded in computer readable form is identical to the written sequence listing has been furnished.

2.  Certain claims were found unsearchable (See Box I).

3.  Unity of invention is lacking (See Box II).

4. With regard to the title,

- the text is approved as submitted by the applicant.
- the text has been established by this Authority to read as follows:

5. With regard to the abstract,

- the text is approved as submitted by the applicant.
- the text has been established, according to Rule 38.2(b), by this Authority as it appears in Box III. The applicant may, within one month from the date of mailing of this international search report, submit comments to this Authority.

6. The figure of the drawings to be published with the abstract is Figure No. \_\_\_\_\_

- as suggested by the applicant.
- because the applicant failed to suggest a figure.
- because this figure better characterizes the invention.

None of the figures.

## INTERNATIONAL SEARCH REPORT

International application No.

PCT/US00/25520

## A. CLASSIFICATION OF SUBJECT MATTER

IPC(7) : C08F 4/44, 4/52  
 US CL : 502/102, 117, 152; 526/164; 534/15, 16

According to International Patent Classification (IPC) or to both national classification and IPC

## B. FIELDS SEARCHED

Minimum documentation searched (classification system followed by classification symbols)

U.S. : 502/102, 117, 152; 526/164

Documentation searched other than minimum documentation to the extent that such documents are included in the fields searched  
 Organometallics, Journal of American Chemical Society, ACS Publishing and Elsevier Publishing

Electronic data base consulted during the international search (name of data base and, where practicable, search terms used)

EAST

## C. DOCUMENTS CONSIDERED TO BE RELEVANT

Category*	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
Y,P	US 6,111,082 A (YUNLU et al) 29 August 2000, col.8, line 48 through col. 10, line 29.	1-47
Y,P	US 6,034,190 A (KATAYAMA et al) 07 March 2000, col. 1, line 59 through col. 2, line 53.	1-47
Y,P	WINFIELD et al., Redox reactions between molybdenum or tungsten hexafluorides and p, f or d block elements in acetonitrile: comparisons with reactions involving nitrosonium fluorometallates, the effect of fluoride ligand transfer and redox inhibition due to surface oxide, Journal of Fluoride Chemistry, vol. 91, 28 April 1998, pages 213-218, especially pages 216-218.	1-47

Further documents are listed in the continuation of Box C.  See patent family annex.

• Special categories of cited documents:	"T"	later document published after the international filing date or priority date and not in conflict with the application but cited to understand the principle or theory underlying the invention
"A" document defining the general state of the art which is not considered to be of particular relevance		
"E" earlier document published on or after the international filing date	"X"	document of particular relevance; the claimed invention cannot be considered novel or cannot be considered to involve an inventive step when the document is taken alone
"L" document which may throw doubts on priority claim(s) or which is cited to establish the publication date of another citation or other special reason (as specified)	"Y"	document of particular relevance; the claimed invention cannot be considered to involve an inventive step when the document is combined with one or more other such documents, such combination being obvious to a person skilled in the art
"O" document referring to an oral disclosure, use, exhibition or other means		
"P" document published prior to the international filing date but later than the priority date claimed	"&"	document member of the same patent family

Date of the actual completion of the international search

19 NOVEMBER 2000

Date of mailing of the international search report

12 JAN 2001

Name and mailing address of the ISA/US  
 (for PCT applications only)  
 Box PCT

Authorized officer  
 Telephone No. (703) 306-5926

DEBORAH THOMAS  
 PARALEGAL SPECIALIST

## INTERNATIONAL SEARCH REPORT

International application No.

PCT/US00/25520

## C (Continuation). DOCUMENTS CONSIDERED TO BE RELEVANT

Category*	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
X,P	EVANS et al., Ketone Coupling with Alkyl Iodides, Bromides, and Chlorides Using Thulium Diiodide: A More Powerful Version of SmI <sub>2</sub> (THF) <sub>x</sub> /HMPA, JACS 16 August 1999, vol. 22, pages 2118-2119.	1-47

## NOTES TO FORM PCT/ISA/220 (continued)

The following examples illustrate the manner in which amendments must be explained in the accompanying letter:

1. [Where originally there were 48 claims and after amendment of some claims there are 51]:  
"Claims 1 to 29, 31, 32, 34, 35, 37 to 48 replaced by amended claims bearing the same numbers; claims 30, 33 and 36 unchanged; new claims 49 to 51 added."
2. [Where originally there were 15 claims and after amendment of all claims there are 11]:  
"Claims 1 to 15 replaced by amended claims 1 to 11."
3. [Where originally there were 14 claims and the amendments consist in cancelling some claims and in adding new claims]:  
"Claims 1 to 6 and 14 unchanged; claims 7 to 13 cancelled; new claims 15, 16 and 17 added." or  
"Claims 7 to 13 cancelled; new claims 15, 16 and 17 added; all other claims unchanged."
4. [Where various kinds of amendments are made]:  
"Claims 1-10 unchanged; claims 11 to 13, 18 and 19 cancelled; claims 14, 15 and 16 replaced by amended claim 14; claim 17 subdivided into amended claims 15, 16 and 17; new claims 20 and 21 added."

### "Statement under Article 19(1)" (Rule 46.4)

The amendments may be accompanied by a statement explaining the amendments and indicating any impact that such amendments might have on the description and the drawings (which cannot be amended under Article 19(1)).

The statement will be published with the international application and the amended claims.

The statement should be brief, it should not exceed 500 words if in English or if translated into English. It should not be confounded with and does not replace the letter indicating the differences between the claims as filed and as amended. It must be filed on a separate sheet and must be identified as such by a heading, preferably by using the words "Statement under Article 19(1)."

It should not contain any disparaging comments on the international search report or the relevance of citations contained in that report. Reference to citations, relevant to a given claim, contained in the international search report may be made only in connection with an amendment of that claim.

### In what language?

The amendments must be made in the language in which the international application is published. The letter and any statement accompanying the amendments must be in the same language as the international application if that language is English or French; otherwise, it must be in English or French, at the choice of the applicant.

### Consequence if a demand for international preliminary examination has already been filed?

If, at the time of filing any amendments under Article 19, a demand for international preliminary examination has already been submitted, the applicant must preferably, at the same time of filing the amendments with the International Bureau, also file a copy of such amendments with the International Preliminary Examining Authority (see Rule 62.2(a), first sentence).

### Consequence with regard to translation of the international application for entry into the national phase?

The applicant's attention is drawn to the fact that, where upon entry into the national phase, a translation of the claims as amended under Article 19 may have to be furnished to the designated/elected Offices, instead of, or in addition to, the translation of the claims as filed.

For further details on the requirements of each designated/elected Office, see Volume II of the PCT Applicant's Guide.